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I hereby certify that this correspondence is being electronically transmitted to the United States Patent and Trademark Office, Commissioner for Patents, via the EFS pursuant to 37 CFR §1.8 on the below date:

Date: May 11, 2010

Name: Ryan Gleitz, Reg. No. 62,164

Signature: 

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: James Farrell et al.

Appln. No.: 10/713,126

Filed: November 14, 2003

For: SYSTEM AND METHOD FOR
CONTROLLING MARKETS DURING A
STOP LOSS TRIGGER

Attorney Docket No.: 4672/310

Examiner: Weis, Samuel

Art Unit: 3695

Conf. No.: 9585

THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure under 37 CFR §1.56 and §§1.97-1.98, and more particularly in accordance with 37 CFR §1.97(c), Applicants hereby cite the following references:

U.S. PATENT DOCUMENTS		
DOCUMENT NO.	DATE	NAME
2005/0283423A1	12/2005	Moser et al.
2005/0108141A1	05/2005	Farrell et al.
2006/0167779A1	07/2006	Turner

OTHER ART – NON PATENT LITERATURE DOCUMENTS
International Search Report in related Application No. PCT/US2008/075974 dated November 21, 2008
Written Opinion of the International Searching Authority in related Application No. PCT/US2008/075974 dated March 25, 2010
International Search Report in related Application No. PCT/US2008/075980 dated November 21, 2008
Written Opinion of the International Searching Authority in related Application No. PCT/US2008/075980 dated March 25, 2010

Applicants are enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 CFR §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above references and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 CFR §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 CFR §1.56(a).

Applicants have calculated a processing fee in the amount of \$180.00 to be due under 37 CFR §1.17(p) in connection with the filing of this Information Disclosure Statement. Applicants have authorized charging the fee to a deposit account or credit card, as indicated in the Transmittal accompanying this Information Disclosure Statement.

Respectfully submitted,

May 11, 2010

Date



Ryan Gleitz, Reg. No. 62,164